

DECLARATION

AS A BELOW NAMED INVENTOR, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name.

I believe that I am the original, first and sole (*if only one name is listed below*), or an original, first and joint inventor (*if plural names are listed below*), of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**TITLE: METHOD AND APPARATUS FOR NETWORK MARKETING
OF FINANCIAL SECURITIES**

the specification of which is attached hereto or indicates an attorney docket no., or:

☐ was filed in the U.S. Patent & Trademark Office on and assigned Serial No.,

☐ and (*if applicable*) was amended on _____.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability and to the examination of this application in accordance with Title 37, Code of Federal Regulations §1.56. I hereby claim foreign priority benefits under Title 35, U.S. Code §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT international application which designated at least one country other than the United States, or §119(e) of any United States provisional application(s), listed below and have also identified below any foreign applications for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

| | | | |
|----------------------|-----------|------------------------|--------------------------|
| 607164,795 | U.S. | 10/11/1999 | Priority Claimed: |
| (Application Number) | (Country) | (Day/Month/Year filed) | Yes [X] No [] |
| _____ | _____ | _____ | Yes [] No [] |
| (Application Number) | (Country) | (Day/Month/Year filed) | |

I hereby claim the benefit under Title 35, U.S. Code §120, of any United States application(s), or §365(c), of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International applications(s) in the manner provided by the first paragraph of Title 35, U.S. Code §112, I acknowledge the duty to disclose information material to patentability as defined in Title 37, Code of Federal Regulations §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

| | | |
|-----------------------------|---------------|--|
| _____ | _____ | _____ |
| (Application Serial Number) | (Filing Date) | (STATUS: patented, pending, abandoned) |

| | | |
|-----------------------------|---------------|--|
| _____ | _____ | _____ |
| (Application Serial Number) | (Filing Date) | (STATUS: patented, pending, abandoned) |

I hereby appoint the following attorneys: **MANNY W. SCHECTER**, Reg. No. 31,722; **LAUREN BRUZZONE**, Reg. No. 35,082; **CHRISTOPHER A. HUGHES**, Reg. No. 26,914; **EDWARD A. PENNINGTON**, Reg. No. 32,588; **JOHN E. HOEL**, Reg. No. 26,279; **JOSEPH C. REDMOND, Jr.**, Reg. No. 18,753; **DOUGLAS W. CAMERON**, Reg. No. 31,596; **LOUIS P. HERZBERG**, Reg. No. 41,500; **STEPHEN C. KAUFMAN**, Reg. No. 29,551; **DANIEL P. MORRIS**, Reg. No. 32,053; **PAUL J. OTTERSTEDT**, Reg. No. 37,411; **LOUIS J. PERCELLO**, Reg. No. 33,206; **ROBERT M. TREPP**, Reg. No. 25,933; and **MARIAN UNDERWEISER**, Reg. No. 46,134; each of them of **INTERNATIONAL BUSINESS MACHINES CORPORATION**, Thomas J. Watson Research Center, P.O. Box 218, Yorktown Heights, New York 10598; to prosecute this application and to transact all business in the U.S. Patent and Trademark Office connected therewith and with any divisional, continuation, continuation-in-part, reissue or re-examination application, with full power of appointment and with full power to substitute an associate attorney or agent, and to receive all patents which may issue thereon, and request that all correspondence be addressed to:

Kevin M. Mason
RYAN, MASON & LEWIS, LLP
1300 Post Road, Suite 205
Fairfield, CT 06430
Tel.: (203) 255-6560

I HEREBY DECLARE that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 U.S. Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST OR SOLE INVENTOR: Tetsunosuke Fujisaki Citizenship Japan

Inventor's signature: _____ Date: _____

Residence & Post Office address: 4 Wayne Valley Road
Armonk, NY 10504

FULL NAME OF SECOND JOINT INVENTOR: _____ Citizenship _____

Inventor's signature: _____ Date: _____

Residence & Post Office address: _____

FULL NAME OF THIRD JOINT INVENTOR: _____ Citizenship _____

Inventor's signature: _____ Date: _____

Residence & Post Office address: _____

**IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE**

COPY

PATENT APPLICATION**APPLICANT(S):** Tetsunosuke Fujisaki

TITLE: **METHOD AND APPARATUS
FOR NETWORK
MARKETING OF
FINANCIAL SECURITIES**

**ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231**

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I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated below and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: November 9, 2000

Signature: *Kevin M. Mason***SIR:**

This application claims the benefit of United States Provisional Application Number 60/164,795, filed November 10, 1999.

Enclosed are the following papers relating to the above-named application for patent:

Application - 17 pages of Specification, 8 pages of Claims and 1 page of Abstract
14 Sheets of informal drawing(s)
Declaration (unexecuted)

| CLAIMS AS FILED | | | | |
|--|-----------|-----------|----------|--------------|
| | NO. FILED | NO. EXTRA | RATE | CALCULATIONS |
| Total Claims | 35 - 20 = | 15 | x \$18 = | \$270 |
| Independent Claims | 13 - 3 = | 10 | x \$80 = | \$800 |
| Multiple Dependent Claim(s), if applicable | | | \$260 = | \$0 |
| Basic Fee | | | | \$710 |
| TOTAL FEE: | | | | \$1,780 |

Please file the application and charge **IBM Corporation's Deposit Account No. 50-0510** the amount of **\$1,780**, to cover the filing fee. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **Deposit Account No. 50-0510** as required to correct the error. *Duplicate copies of this letter are enclosed.*

Please address all correspondence to: **Kevin M. Mason, Ryan, Mason & Lewis, LLP, 1300 Post Rd., Suite 205, Fairfield, CT 06430**. Telephone calls should be made to the under-signed attorney at (203) 255-6560.

Respectfully,

Kevin M. Mason

Kevin M. Mason

Reg. No. 36,597

Attorney for Applicant(s)

Date: November 9, 2000
Ryan, Mason & Lewis, LLP
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